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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/827,545
	Filing Date	April 6, 2001
	First Named Inventor	Sprunk, Eric J.
	Group Art Unit	
Examiner Name		
Total Number of Pages in This Submission	1	Attorney Docket Number 018926003150

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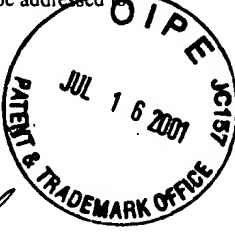
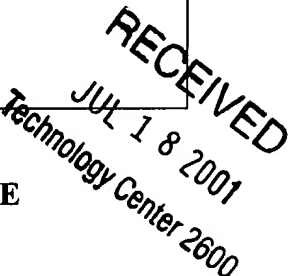
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<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
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<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
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<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s)	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm and Individual name	Townsend and Townsend and Crew LLP Thomas D. Franklin Reg No. 43,616	
Signature		
Date	7/13/01	

CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 7-13-01		
Typed or printed name	Maisie C. Livengood	
Signature		Date 7-13-01

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Assistant Commission for Patents Washington, DC 20231		Attorney Docket No.: 198926-003150US Client Reference No.: D2316 CIP 3
On: <u>July 13, 2001</u>		
TOWNSEND and TOWNSEND and CREW LLP		
By: <u>Maisie C. Livengood</u>		

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Eric J. Sprunk et al.

Application No.: 09/827,545

Filed: April 6, 2001

For: ACCESS CONTROL
PROCESSOR

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR §1.97 and
§1.98

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The references cited on attached form PTO-1449 are being called to the attention of the Examiner. Copies of the references are enclosed.

Applicants also wish to make the Examiner aware of the following copending applications copies of which, for the convenience of the Examiner, are enclosed:

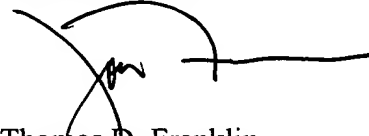
1. Application No. 09/580,303, filed 05/26/2000;
2. Application No. 09/505,336, filed 02/16/2000;
3. Application No. 09/493,984, filed 01/28/2000;
4. Application No. 09/736,617, filed 12/13/2000;
5. Application No. 09/649,255, filed 08/28/2000;
6. Application No. 09/827,630, filed 04/06/2001;
7. Application No. 09/827,613, filed 04/06/2001; and
8. Application No. 09/827,617, filed 04/06/2001.

It is respectfully requested that the cited references and the above copending applications be expressly considered during the prosecution of this application, and the cited references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

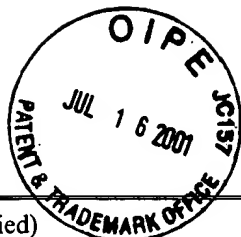
Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,



Thomas D. Franklin
Reg. No. 43,616

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San Francisco, California 94111-3834
Tel: 303-571-4000
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TDF:bhr



FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	Attorney Docket No.: 18926-003150US	Application No.: 09/827,545
	Applicant: Eric Sprunk et al.	
	Filing April 6, 2001	Group: Unassigned

Reference Designation	U.S. PATENT DOCUMENTS	Page 1
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Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date (If Appropriate)
AA	5,844,986	12/1/98	Davis	380	4	
AB	5,912,972	6/15/99	Barton	380	23	
AC	5,005,200	4/2/1991	Fischer	380	30	
AD	5,982,891	11/1999	Ginter et al.	380	4	

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FOREIGN PATENT DOCUMENTS						
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	Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
AE	EP 0 752 786 A1	08.01.1997	EPO	H04N	7/167	
AF	EP 0 909 094 A1	14/-4/1999	EPO	H04N	7/173	
AG	EP 0 914 001 A1	06.05.1999	EPO	H04N	7/16	
AH	EP 0 936 813 A1	18.08.1999	EPO	H04N	7/00	
AI	EP 0 946 019 A1	29.09.1999	EPO	H04L	9/32	
AJ	WO 98/55910	10.12.98	WIPO	G06F		
AK	WO 98/56180	10.12.98	WIPO	H04N	7/167	
AL	WO 99/09743	25.02.99	WIPO	H04N	7/167	
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AN	WO 99/39504	05.08.99	WIPO	H04N	7/167	
AO	WO 99/53624	21.10.99	WIPO	H04B	1/69	
AP	WO 00/04727	27.01.00	WIPO	H04N	7/24	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)	
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AQ	Olin Sibert et al., "DigiBox: A Self-Protecting Container for Information Commerce," Proceedings of the First USENIX Workshop on Electronic Commerce, New York, July 1995.
AR	InterTrust Technologies Corporation, "A Piece of the Tick. Supporting the Commercial Redistribution of Electronic Information through Value Chains," October 1998.
AS	"Digital Consumer Electronics Handbook," McGraw-Hill, 1997, pp. 17.18-17.25.
AT	"SentinelSuperPro," Rainbow Technologies. Retrieved from the Internet: http://sentinel.rainbow.com , pp. 1-2.
AU	"iKey," Rainbow Technologies. Retrieved from the Internet: http://ikey.rainbow.com , pp. 1-2.
AV	Monica Pawlan et al., "Signed Applets, Browsers, and File Access." Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/Signed/index.html , April 1998.
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AX	Monica Pawlan, "Is the Only Really Secure Computer a Disconnected Computer?" Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/ReallySecure/index.html , Jan. 1998.
AY	Microsoft Corporation, "Microsoft Authenticode Technology. Ensuring Accountability and Authenticity for Software Components on the Internet," Redmond, VA, Oct. 1996.
AZ	"Modern Cable Television Technology: Video, Voice, and Data Communications," Morgan Kaufmann Publishers, Inc., San Francisco, CA, 1999, pp. 743-751.
BA	Dan S. Wallach et al., "Extensible Security Architectures for Java," BNS Document ID XP-002101681, 1997, pp. 1-26.



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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Applicant: Eric Sprunk et al.	
		Filing April 6, 2001	Group: Unassigned
_____ BB	Charles Crichton et al., "When to trust mobile objects: access control in the Jini TM Software System," BNS Document ID XP-002155686, 1999. pp. 116-125.		
_____ BC	"Building a Foundation of Trust in the PC," The Trusted Computing Platform Alliance, pp. 1-7 January 2000.		
EXAMINER		DATE CONSIDERED	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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